

#27/2-2602  
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Deliver to: Technology Center 2100

Firm Name: U.S. Patent And Trademark Office

Fax Number: 703 746-7239

From: Julio Loza

Date: January 28, 2002

BSTZ Matter: 42390P12347

In Re Patent Application of: John T. Maddux

Application No.: 09/965,229

Filed: September 27, 2001

Title: SERIAL DATA EXTRACTION USING TWO CYCLES OF EDGE INFORMATION

Enclosed are the following documents:

<input type="checkbox"/> Amendment/Response ( pgs)	<input type="checkbox"/> Declaration & PoA ( pgs)	<input type="checkbox"/> Reply Brief ( pgs)
<input type="checkbox"/> Appeal Brief ( pgs) (in triplicate)	<input type="checkbox"/> Drawings: # of sheets w/ figs.	<input type="checkbox"/> Small Entity Statement
<input type="checkbox"/> Utility Application ( pgs)	<input type="checkbox"/> Month Petition re Ext. of Time	<input type="checkbox"/> Resp. to Notice of Missing Parts ( pgs)
<input type="checkbox"/> 1.53(b) Cont. Application ( pgs)	<input type="checkbox"/> IDS & PTO 1449 ( pgs)	<input checked="" type="checkbox"/> Transmittal Letter (1 pgs) (in duplicate)
<input type="checkbox"/> 1.53(b) Divisional Application ( pgs)	<input type="checkbox"/> Issue Fee Transmittal ( pgs)	<input checked="" type="checkbox"/> Fee Transmittal (2 pgs) (in duplicate)
<input type="checkbox"/> 1.53(b) CIP Application ( pgs)	<input type="checkbox"/> Notice of Appeal ( pgs)	<input checked="" type="checkbox"/> Deposit Account Authorization
<input type="checkbox"/> 1.53(d) CPA Transmittal ( pgs)	<input type="checkbox"/> Petition re ( pgs)	<input type="checkbox"/> Other:
<input type="checkbox"/> PCT Application ( pgs)	<input type="checkbox"/> Power of Attorney ( pgs)	<input type="checkbox"/> Other:
<input type="checkbox"/> Provisional Application ( pgs)	<input type="checkbox"/> Declaration by Inventor(s) ( pgs)	<input type="checkbox"/> Other:
<input type="checkbox"/> Assignment & Cover Sheet ( pgs)	<input type="checkbox"/> Supplemental Declaration ( pgs)	<input type="checkbox"/> Other:
<input checked="" type="checkbox"/> Certificate of Transmission by Fax	<input checked="" type="checkbox"/> Preliminary Amendment (21 pgs)	<input type="checkbox"/> Other:

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/965,229
		Filing Date	September 27, 2001
		First Named Inventor	John T. Maddux
		Group Art Unit	2133
		Examiner Name	Not Assigned
Total Number of Pages in This Submission	24	Attorney Docket Number	42390P12347

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">Preliminary Amendment</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Julio Loza, Reg. No. 47,758 BLAKELY, SOKOLOFF TAYLOR & ZAFMAN LLP
Signature	<i>Julio Loza</i>
Date	January 28, 2002

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being transmitted via facsimile under 37 CFR §1.8 on:			
			January 28, 2002
Typed or printed name	Pat Sullivan		
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PTO/SB/17 (11-01)  
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<b>FEE TRANSMITTAL</b> <b>for FY 2002</b> <small>Patent fees are subject to annual revision.</small>		<b>Complete if Known</b>			
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.		Application Number			
		Filing Date			
		First Named Inventor			
		Examiner Name			
		Group/Art Unit			
TOTAL AMOUNT OF PAYMENT		(\$)		138.00	
		Attorney Docket No.		42390P12347	

<b>METHOD OF PAYMENT (check one)</b> <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account Deposit Account Number: <u>02-2666</u> Deposit Account Name: <u>Blakely, Sokoloff, Taylor &amp; Zafman LLP</u> The Commissioner is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input type="checkbox"/> Charge any additional fee(s) during the pendency of the application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account	<b>FEE CALCULATION (continued)</b> <b>3. ADDITIONAL FEES</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>85</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>138</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For filing a request for ex parte reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920 *</td> <td>112</td> <td>920 *</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,840 *</td> <td>113</td> <td>1,840 *</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>400</td> <td>216</td> <td>200</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>920</td> <td>217</td> <td>480</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,440</td> <td>218</td> <td>720</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,980</td> <td>228</td> <td>980</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>320</td> <td>219</td> <td>160</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>320</td> <td>220</td> <td>160</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>280</td> <td>221</td> <td>140</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>130</td> <td>1,510</td> <td>138</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td>141</td> <td>1,280</td> <td>241</td> <td>640</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>1,280</td> <td>242</td> <td>640</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>480</td> <td>243</td> <td>230</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>620</td> <td>244</td> <td>310</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td>Processing fee under 37 CFR 1.17(a)</td> <td></td> </tr> <tr> <td>126</td> <td>180</td> <td>126</td> <td>180</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146</td> <td>740</td> <td>246</td> <td>370</td> <td>Filing a submission after final rejection (37 CFR § 1.123(a))</td> <td></td> </tr> <tr> <td>149</td> <td>740</td> <td>249</td> <td>370</td> <td>For each additional invention to be examined (37 CFR § 1.123(b))</td> <td></td> </tr> <tr> <td>179</td> <td>740</td> <td>279</td> <td>370</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>169</td> <td>900</td> <td>169</td> <td>900</td> <td>Request for expedited examination of a design application</td> <td></td> </tr> </tbody> </table>	Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	105	130	205	85	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		138	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for ex parte reexamination		112	920 *	112	920 *	Requesting publication of SIR prior to Examiner action		113	1,840 *	113	1,840 *	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	400	216	200	Extension for reply within second month		117	920	217	480	Extension for reply within third month		118	1,440	218	720	Extension for reply within fourth month		128	1,980	228	980	Extension for reply within fifth month		119	320	219	160	Notice of Appeal		120	320	220	160	Filing a brief in support of an appeal		121	280	221	140	Request for oral hearing		130	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,280	241	640	Petition to revive - unintentional		142	1,280	242	640	Utility issue fee (or reissue)		143	480	243	230	Design issue fee		144	620	244	310	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Processing fee under 37 CFR 1.17(a)		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	740	246	370	Filing a submission after final rejection (37 CFR § 1.123(a))		149	740	249	370	For each additional invention to be examined (37 CFR § 1.123(b))		179	740	279	370	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application	
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1. BASIC FILING FEE				
Large Entity		Small Entity		Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
101	740	201	370	Utility filing fee
108	330	208	165	Design filing fee
107	610	207	255	Plant filing fee
109	740	209	370	Reissue filing fee
114	160	214	80	Provisional filing fee
SUBTOTAL (1)				(\$)

2. EXTRA CLAIM FEES				
Total Claims		Extra Claims		Fee Paid
Independent Claims	Multiple Dependent	Fee from below	Fee Paid	
33	30*	3	18.00	\$54.00
4	3*	1	84.00	\$84.00

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple Dependent claim, if not paid	
106	94	206	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	138.00

\*or number previously paid, if greater, For Reissues, see below

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Julio Loza	Registration No. (Attorney/Agent)	47,758
Signature	<i>Julio Loza</i>	Telephone	(714) 557-3800
		Date	01/28/02

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Our Docket No.: 42390P12347

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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For: SERIAL DATA  
EXTRACTION USING TWO CYCLES  
OF EDGE INFORMATION

Examiner: Not Assigned

Art Group: 2133

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents  
BOX FEE AMENDMENT

Washington, DC 20231-9999

Sir:

Prior to examination, please amend the above-identified  
application for patent as follows:

42390P12347  
BHT/JML/phs

-1-

In re Maddux  
09/965,229